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JANUARY 12, 2000

PTAS

NUTTER, MCLENNEN & FISH, LLP  
WILLIAM C. GEARY III  
ONE INTERNATIONAL PLACE  
BOSTON, MA 021109-2699



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COPY

UNITED STATES PATENT AND TRADEMARK OFFICE  
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 10/13/1999

REEL/FRAME: 010314/0762  
NUMBER OF PAGES: 3

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

GRIMES, RANDALL Y.

DOC DATE: 10/01/1999

ASSIGNEE:

MASSACHUSETTS GENERAL HOSPITAL  
55 FRUIT STREET  
BOSTON, MASSACHUSETTS 02114

ASSIGNEE:

GEORGIA TECH RESEARCH CORPORATION,  
THE  
400 TENTH STREET  
ATLANTA, GEORGIA 30332-0415

SERIAL NUMBER: 09417945  
PATENT NUMBER:

FILING DATE: 10/13/1999  
ISSUE DATE:

*species*

RECEIVED

JAN 21 2000

N.M.F.

*April 16*  
*June 24*  
*July 16 -*

TARA WASHINGTON, EXAMINER  
ASSIGNMENT DIVISION  
OFFICE OF PUBLIC RECORDS

TO/TO/ 9011362

**ASSIGNMENT**

Whereas I, the undersigned, **Randall Y. Grimes**, have made certain inventions or discoveries (or both) set forth in an application for Letters Patent of the United States of America entitled, **DEVICES AND METHODS FOR PERCUTANEOUS MITRAL VALVE REPAIR**, identified as Attorney Docket No. 22727-31, which application was executed by me of even date herewith, or was filed on 10/13/99, as Serial Number \_\_\_\_\_ . In the event that the execution date or filing date and Serial Number are not specified above at the time I execute this document, and if such information is deemed necessary, I hereby authorize and request my attorneys at Nutter, McClennen & Fish, LLP, One International Place, Boston, MA 02110-2699, to insert above the filing date and Serial Number of said application.

Whereas, **The General Hospital Corporation, d/b/a Massachusetts General Hospital**, a Massachusetts corporation having a place of business at **55 Fruit Street, Boston, MA 02114**, and **The Georgia Tech Research Corporation**, a Georgia corporation having a place of business at **400 Tenth Street, Atlanta, GA 30332-0415**, both of which, together with their successors and assigns, are hereinafter called "Assignees," are both desirous of acquiring the title, rights, benefits and privileges hereinafter recited;

Now, therefore, for valuable consideration furnished by Assignees to me, receipt and sufficiency of which I hereby acknowledge, I hereby, without reservation:

1. Assign, transfer and convey to the Assignees jointly a complete and undivided joint right, title and interest in and to said inventions and discoveries, said application for Letters Patent of the United States of America, any and all other applications for Letters Patent on said inventions and discoveries in whatsoever countries, including all divisional, renewal, substitute, continuation, reissue and Convention applications based in whole or in part upon said inventions or discoveries, or upon said applications, and any and all Letters Patent, reissues, reexaminations, and extensions of Letters Patent granted for said inventions and discoveries or upon said applications, and every priority right that is or may be predicated upon or arise from said inventions, said discoveries, said applications and said Letters Patent;

2. Authorize the Assignees to file patent applications in any or all countries on any or all of said inventions and discoveries in my name or in the name of either or both of the Assignees or otherwise as the Assignees may deem advisable, under the International Convention or otherwise;

3. Authorize and request the Commissioner of Patents and Trademarks of the United States of America and the empowered officials of all other governments to issue or transfer all said Letters Patent to Assignees, as assignees of the entire right, title and interest therein or otherwise as Assignees may direct;

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4. Warrant that I have not knowingly conveyed to others any right in said inventions, discoveries, applications or patents or any license to use the same or to make, use or sell anything embodying or utilizing any of said inventions or discoveries; and that I have good right to assign the same to Assignees without encumbrance;

5. Bind my heirs, legal representatives and assigns, as well as myself, to do, upon Assignees' request and at Assignees' expense, but without additional consideration to me or them, all acts reasonably serving to assure that the said inventions and discoveries, the said patent applications and the said Letters Patent shall be held and enjoyed jointly by each of the Assignees as fully and entirely as the same could have been held and enjoyed by me, my heirs, legal representatives and assigns if this assignment had not been made; and particularly to execute and deliver to Assignees all lawful application documents including petitions, specifications, and oaths, and all assignments, disclaimers, and lawful affidavits in form and substance as may be requested by Assignees; to communicate to Assignees all facts known to me relating to said inventions and discoveries or the history thereof; and to furnish Assignees with any and all documents, photographs, models, samples and other physical exhibits in my control or in the control of my heirs, legal representatives or assigns which may be useful for establishing the facts of my conceptions, disclosures, and reduction to practice of said inventions and discoveries.

In testimony of which I have executed this Assignment as an instrument under seal on the date indicated next to my name.

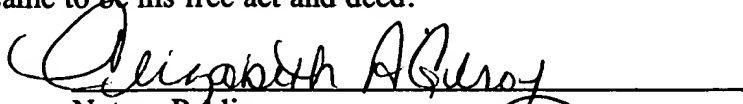
Dated: 10/1/99

  
Randall Y. Grimes

Commonwealth of Massachusetts  
Suffolk County

**NOTARIAL CERTIFICATE**

On this 1<sup>st</sup> day of OCTOBER 1999, before me appeared Randall Y. Grimes to me known and known to me to be the person described in and who executed the foregoing instrument, and he acknowledged the same to be his free act and deed.

  
Notary Public

My Commission Expires: Sept 23, 2005

[seal]

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**DECLARATION AND POWER OF ATTORNEY FOR  
UNITED STATES LETTERS PATENT APPLICATION**

As a below-named inventor, I hereby declare that:

My residence, post-office address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

**DEVICES AND METHODS FOR PERCUTANEOUS MITRAL VALVE REPAIR**

the specification of which

(check one)

☒ is attached hereto.

☐ was filed on:

as Application No.:

and was amended on:  
(if applicable).

In the event that the filing date and/or Application No. are not entered above at the time I execute this document, and if such information is deemed necessary, I hereby authorize and request my attorneys at Nutter, McClennen & Fish, LLP, One International Place, Boston, MA 02110-2699, to insert above the filing date and/or Application No. of said application.

I hereby state that I have reviewed and understand the contents of the above-identified application specification, including the claims, as amended by any amendment specifically referred to herein.

I acknowledge the duty to disclose all information known to me that is material to patentability in accordance with Title 37, Code of Federal Regulations, §1.56.

09031406-101701

## FOREIGN PRIORITY CLAIM

I hereby claim foreign priority benefits under Title 35, United States Code §119(a)-(d) of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:

(check one)

- ☒ no such foreign applications have been filed.
- ☐ such foreign applications have been filed as follows:

**EARLIEST FOREIGN APPLICATION(S), IF ANY FILED WITHIN 12 MONTHS  
(6 MONTHS FOR DESIGN) PRIOR TO THIS U.S. APPLICATION**

Country	Application Number	Date of Filing (month, day, year)	Priority Claimed Under 35 USC 119
			___ Yes No ___
			___ Yes No ___
			___ Yes No ___
			___ Yes No ___
			___ Yes No ___

**ALL FOREIGN APPLICATION(S), IF ANY FILED MORE THAN 12 MONTHS  
(6 MONTHS FOR DESIGN) PRIOR TO THIS U.S. APPLICATION**


### CLAIM FOR BENEFIT OF EARLIER U.S. PROVISIONAL APPLICATION(s)

I hereby claim priority benefits under Title 35, United States Code §119(e), of any United States provisional patent application(s) listed below:

(check one)

☒ no such U.S. provisional applications have been filed.

☐ such U.S. provisional applications have been filed as follows:

Application Number	Date of Filing (month, day, year)	Priority Claimed Under 35 USC 119(e)
		___ Yes    No ___
		___ Yes    No ___
		___ Yes    No ___

### CLAIM FOR BENEFIT OF EARLIER U.S./PCT APPLICATION(s)

I hereby claim the benefit under Title 35, United States Code §120, of the United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United State Code, §112, I acknowledge the duty to disclose all information that is material to patentability in accordance with Title 37, Code of Federal Regulations, §1.56, and which became available to me between the filing date of the prior application and the national or PCT international filing date of this application:

(check one)

☒ no such U.S./PCT applications have been filed.

☐ such U.S./PCT applications have been filed as follows:

Application Number	Date of Filing (month,day,year)	Status (Patented/Pending/Abandoned)

0981406-101201

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment or both under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

I hereby appoint:

Ronald E. Cahill	Reg. No. 38,403	Michael I. Falkoff	Reg. No. 30,833
John Christopher	Reg. No. 37,596	William C. Geary III	Reg. No. 31,359
Carl M. DeFranco, Jr.	Reg. No. 32,675	Richard J. Roos	Reg. No. P-45,053
Paul D. Durkee	Reg. No. 41,003	Michelle B. Rosenberg	Reg. No. 40,792
Thomas J. Engellenner	Reg. No. 28,711	Scott D. Rothenberger	Reg. No. 41,277

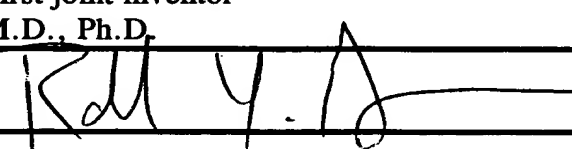
all of Nutter McClennen & Fish, LLP, One International Place, Boston, Massachusetts 02110-2699, jointly, and each of them severally, my attorneys at law, with full power of substitution, delegation and revocation, to prosecute this application, to make alterations and amendments therein, to receive the patent, and to transact all business in the Patent and Trademark Office connected therewith.

Please mail correspondence to: William C. Geary, Esq. at Customer Number 021125, whose address is:

Nutter McClennen & Fish, LLP  
One International Place  
Boston, Massachusetts 02110-2699

Please direct telephone calls to: William C. Geary, Esq. at (617) 439-2766.

Please direct facsimiles to: (617) 973-9748.

Full name of sole or first joint inventor Randall Y. Grimes, M.D., Ph.D.	
Inventor's Signature 	Date 10/1/99
Residence 10 Emerson Place, Apt. 8H, Boston, Massachusetts 02114	
Country of Citizenship U.S.	
Post Office Address (if different)	

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I hereby certify that this correspondence is being deposited with the U.S. Postal Service as Express Mail, Airbill No. EL 835 839 928 US, in an envelope addressed to: Box PATENT APPLICATION, Commissioner for Patents, Washington, DC 20231, on the date shown below.

Dated: October 17, 2001

Signature: 

(William C. Geary III)

Docket No.: 022727-0068  
(PATENT)

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re DIV'L Application of: Randall I. Grimes

Application No.: Not Yet Assigned

Group Art Unit: (Parent Appl.: 3731)

Filed: October 17, 2001

Examiner: (Parent Appl.: U. Ho)

For: DEVICES AND METHODS FOR  
PERCUTANEOUS MITRAL VALVE REPAIR

**ASSOCIATE POWER OF ATTORNEY**

**Box PATENT APPLICATION**

Commissioner for Patents  
Washington, DC 20231

Dear Sir:

Please recognize:


Thomas J. Engellenner	Reg. No. 28,711	Lisa J. Michaud	Reg. No. 44,238
David J. Powsner	Reg. No. 31,868	Reza Mollaaghababa	Reg. No. 43,810
Ronald E. Cahill	Reg. No. 38,403	Tram Anh T. Nguyen	Reg. No. 47,257
Michael I. Falkoff	Reg. No. 30,833	Herbert A. Newborn	Reg. No. 42,031

all of Nutter McClennen & Fish LLP, One International Place, Boston, Massachusetts 02110-2699, as my associate attorneys/patent agent(s), with full power of substitution, delegation and revocation, to prosecute this application, to make alterations and amendments therein, to receive the patent and to transact all business in the Patent and Trademark Office connected therewith. Please address all correspondence and direct all telephone calls to the undersigned.

Respectfully submitted,

Dated: October 17, 2001

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By   
William C. Geary III  
Registration No.: 31,359  
NUTTER MCCLENNEN & FISH LLP  
One International Place  
Boston, Massachusetts 02110-2699  
(617) 439-2000  
Attorneys for Applicant

TO: "904T8650"